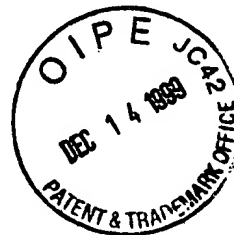


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: John M. PACKES, et al.)

For: SYSTEMS AND METHODS TO
 PROVIDE A PRODUCT TO A
 CUSTOMER BEFORE A FINAL
 TRANSACTION TERM VALUE IS
 ESTABLISHED



RECEIVED
 JAN 18 2000
 TC 2700 MAIL ROOM

Serial No.: 09/409,041

Filing Date: September 29, 1999

Examiner: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Docket No.: WD2-99-030

Assistant Commissioner for Patents
 Office of Initial Examination
 Customer Service Center
 Washington, D.C. 20231

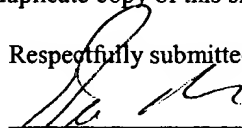
TRANSMITTAL LETTER

Applicants hereby submit the following documents for the above-identified patent application:

1. Request for Corrected Filing Receipt;
2. Copy of "Utility Patent Application Transmittal" as filed September 29, 1999 which has no indication of Continuing Data.
3. Red-lined Copy of Official Filing Receipt; and
4. Return Receipt Postcard.

The Assistant Commissioner is hereby authorized to charge the associated filing fee in the amount of **\$0.00** to **Deposit Account No. 50-0271**. Order No. WD2-99-030. A duplicate copy of this sheet is attached. The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment, to **Deposit Account No. 50-0271**. Order No. WD2-99-030. A duplicate copy of this sheet is attached.

Respectfully submitted,


 Dean Alderucci
 Intellectual Property Department
 Attorney for Applicants
 PTO Reg. No. 40,484
 Walker Digital Corporation
 One High Ridge Park
 Stamford, CT 06905
 Telephone No. (203) 905-6666
 Fax No. (203) 595-8266

December 8, 1999

Date

Certificate of Mailing

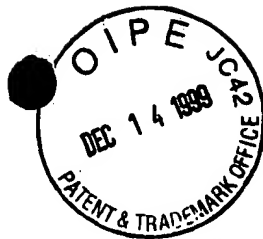
I hereby certify that this correspondence is being sent via first class mail in an envelope with sufficient postage addressed to Assistant Commissioner for Patents, Office of Initial Examination, Customer Service Center, Washington, D.C. 20231 on December 8, 1999.

Tara D. Gee

Typed Name of Person Making Deposit

Signature

12/08/99



Attorney Docket No.: WD2-99-030

Receipt

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jay S. WALKER, et al.)
)
For: SYSTEMS AND METHODS TO PROVIDE)
A PRODUCT TO A CUSTOMER BEFORE) Examiner: Not Yet Assigned
A FINAL TRANSACTION TERM VALUE)
IS ESTABLISHED) Group Art Unit: 2761
)
Serial No.: 09/409,041) Docket No.: WD2-99-030
)
Filing Date: September 29, 1999)

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JAN 18 2000
TC 2700 MAIL ROOM

Assistant Commissioner for Patents
Office of Initial Examination
Customer Service Center
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

Applicants respectfully request that the filing receipt for the above-identified patent application be corrected as follows:

- 1) Please **REMOVE** the following incorrect information:

“CONTINUING DATA AS CLAIMED BY APPLICANT -

This APPLN IS A CON OF 08/889,503 07/08/97

WHICH IS A CON OF 09/083,345 05/22/98

WHICH IS A CON OF 09/337,906 06/22/99”

The requested correction has been indicated in red on an enclosed copy of the official Filing Receipt.

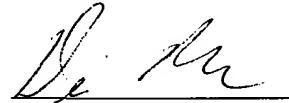
In support of this request, applicants have enclosed a copy of the “Utility Patent Application Transmittal” as filed on September 29, 1999, which clearly indicates the absence of any continuing data information. Please issue a corrected Filing Receipt in due course.

The Assistant Commissioner is hereby authorized to charge the associated filing fee in the amount of \$0.00 to **Deposit Account No. 50-0271**. Order No. WD2-99-030. A duplicate copy of this sheet is attached. The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment, to **Deposit Account No. 50-0271**. Order No. WD2-99-030. A duplicate copy of this sheet is attached.

December 8, 1999

Date

Respectfully submitted,



Dean Alderucci

Attorney for Applicants

PTO Reg. No. 40,484

Walker Digital Corporation

One High Ridge Park

Stamford, CT 06905

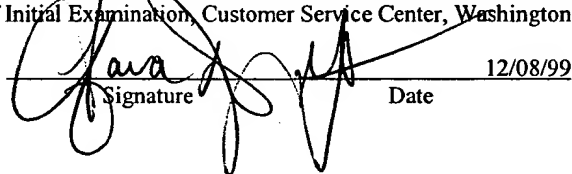
(203) 905-6666/(203) 595-8266 (fax)

Certificate of Mailing

I hereby certify that this correspondence is being sent via first class mail in an envelope with sufficient postage addressed to Assistant Commissioner for Patents, Office of Initial Examination, Customer Service Center, Washington, D.C. 20231 on December 8, 1999.

Tara D. Gee

Typed Name of Person Making Deposit



Signature

12/08/99

Date

UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
WD2-99-030

Total Pages in this Submission

139

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

SYSTEMS AND METHODS TO PROVIDE A PRODUCT TO A CUSTOMER BEFORE A FINAL TRANSACTION TERM VALUE IS ESTABLISHED

and invented by:

John M. PACKES, Jr.; Jay S. WALKER; Daniel E. TEDESCO; Stephen C. TULLEY; Keith BEMER

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 36 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☒ Cross References to Related Applications (if applicable)
 - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
 - d. ☐ Reference to Microfiche Appendix (if applicable)
 - e. ☒ Background of the Invention
 - f. ☒ Brief Summary of the Invention
 - g. ☒ Brief Description of the Drawings (if drawings filed)
 - h. ☒ Detailed Description
 - i. ☒ Claim(s) as Classified Below
 - j. ☒ Abstract of the Disclosure

UTILITY PATENT APPLICATION TRANSMITTAL
(Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
WD2-99-030

Total Pages in this Submission
139

Application Elements (Continued)

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
a. ☒ Formal b. ☐ Informal Number of Sheets 10
4. ☒ Oath or Declaration
a. ☒ Newly executed *(original or copy)* ☐ Unexecuted
b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
c. ☒ With Power of Attorney ☐ Without Power of Attorney
d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*
a. ☐ Paper Copy
b. ☐ Computer Readable Copy
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. ☒ Assignment Papers *(cover sheet & documents)*
9. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☒ Information Disclosure Statement/PTO-1449 ☒ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
☐ First Class ☒ Express Mail *(Specify Label No.):* EL426143395US

UTILITY PATENT APPLICATION TRANSMITTAL
(Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
WD2-99-030

Total Pages in this Submission

139

Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: 1
17. ☒ Additional Enclosures (please identify below):

12 Cited references for IDS

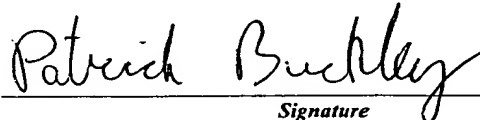
Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	56	- 20 =	36	x \$9.00	\$324.00
Indep. Claims	13	- 3 =	10	x \$39.00	\$390.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$380.00
OTHER FEE (specify purpose) <u>Assignment</u>					\$40.00
TOTAL FILING FEE					\$1,134.00

- ☐ A check in the amount of _____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0271 as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$1,134.00 as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: September 29, 1999


Signature

Patrick J. Buckley
Attorney for Applicants
PTO Reg. No. 40,928
Intellectual Property Department
Walker Digital Corporation
One High Ridge Park
Stamford, CT 06905
Telephone: (203) 905-6540; Fax: (203) 595-8266

cc:

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/409,041	09/29/99	2761	\$899.00	WD2-99-030	10	56	8

PATRICK J BUCKLEY
WALKER DIGITAL CORPORATION
ONE HIGH RIDGE PARK
STAMFORD CT 06905

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) JOHN M. PACKES JR., HAWTHORNE, NY; JAY S. WALKER, RIDGEFIELD, CT; DANIEL E. TEDESCO, NEW CANAAN, CT; STEPHEN C. TULLEY, STAMFORD, CT; KEITH BEMER, NEW YORK, NY.

CONTINUING DATA AS CLAIMED BY APPLICANT-

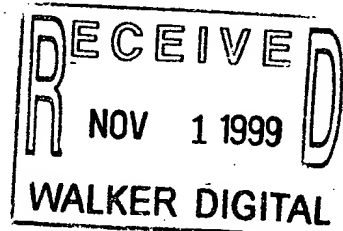
~~THIS APPLN IS A CON OF 08/889,503 07/08/97~~
~~WHICH IS A CON OF 09/083,345 05/22/98~~
~~WHICH IS A CON OF 09/337,906 06/22/99~~

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 10/21/99 ** SMALL ENTITY **
TITLE
SYSTEMS AND METHODS TO PROVIDE A PRODUCT TO A CUSTOMER BEFORE A FINAL TRANSACTION TERM VALUE IS ESTABLISHED

PRELIMINARY CLASS: 705



File No:	99-030
Attorney:	SA
Due Date:	11/11/99
Docketed:	11/11/99



DATA ENTRY BY: WHITE, JACKIE

TEAM: 03 DATE: 10/21/99



(See reverse for new important information)